

## DECLARATION FOR PATENT APPLICATION

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: *Nuclear Hormone Receptor Drug Screens*, the specification of which was filed on September 30, 1998 and having USSN 09/163,713.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56.

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose to the Patent Office all information known to me to be material to patentability as defined in 37 C.F.R. 1.56 which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

08/975,614  
(Application Serial No.)

November 21, 1997  
(Filing Date)

Pending  
(Status)

Please address all correspondence to: Richard Aron Osman, Ph.D., Science & Technology Law Group, 75 Denise Drive, Hillsborough, CA 94010, Telephone: (650) 343-4341

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Title 18, United States Code, §1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

First Inventor:

Kevin Lustig

Inventor's signature:

Date:

Residence (city/state)

Citizenship:

Post Office Address:

South San Francisco, CA

USA

Tularik Inc., Two Corporate Drive

South San Francisco, CA 94080

Second Inventor:

Patrick Baeuerle

Inventor's signature:

Date:

Residence (city/state)

Citizenship:

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Germany

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Third Inventor:

Holger Beckmann

Inventor's signature:

Holger Beckmann

Date:

1/7/99

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Fourth Inventor:

Jin-Long Chen

Inventor's signature:

Jin-Long Chen

Date:

1-7-99

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Fifth Inventor:

Bei Shan

Inventor's signature:

Bei Shan

Date:

1-7-99

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Citizenship:

China

Post Office Address:

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**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am ☐ the owner of the small business concern identified below or ☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN: Tularik Inc.

ADDRESS OF SMALL BUSINESS CONCERN: Two Corporate Drive, South San Francisco, CA 94080

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.12, and reproduced in 37 CFR 1.9(d), for purposes of paying reduced fees to the United States Patent and Trademark Office, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled *Nuclear Hormone Receptor Drug Screens*, having the named inventors Kevin Lustig, Patrick Baeuerle, Holger Beckmann, Jin-Long Chen and Bei Shan, all of South San Francisco, CA the specification of which was filed on September 30, 1998 and having U.S. Serial no. 09/163,713. If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e). \*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

☐ Individual      ☐ Small Business Concern      ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b)).

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name/Title: Terry Rosen, Vice President, Research Operations

Address: Tularik Inc., Two Corporate Drive, South San Francisco, CA 94080

SIGNATURE

DATE 01/07/99

RECORDATION FORM COVER SHEET  
PATENTS ONLY

Attorney Docket No. T97-012-1

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

## 1. Name of conveying party(ies):

Kevin Lustig, Patrick Baeuerle, Holger Beckmann, Jin-Long Chen, and Bei Shan

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

## 3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name

Other: \_\_\_\_\_

Execution Date: January 7, 1999

## 2. Name and address of receiving party(ies):

Name: Tularik, Inc.Address: Two Corporate DriveSouth San Francisco, CA 94080Additional name(s) & address(es) attached? ☐ Yes ☒ No4. Application number(s) or patent number(s): 09/163,713 filed on September 30, 1998

If this document is being filed together with a new application, the filing date of the application is:

A. Patent Application No.(s) 09/163,713 filed on September 30, 1998

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Richard Aron OsmanAddress: Science & Technology Law Group75 Denise DriveHillsborough, CA 940106. Total number of applications and patents involved: 17. Total fee (37 CFR 3.41): \$40.00☒ Enclosed☒ Authorized to be charged to deposit account, if necessary

## 8. Deposit account number:

19-0750

(Attach duplicate copy of this page if paying by deposit account)

DO NOT USE THIS SPACE

## 9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.*Richard Aron Osman, Ph.D.

Name of Person Signing

Signature

January 8, 1999

Date

Total number of pages including cover sheet: 2

Do not detach this portion

Mail documents to be recorded with required cover sheet information to:

Commissioner of Patents and Trademarks  
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